

Electronic Acknowledgement Receipt

EFS ID:	6999515
Application Number:	10627626
International Application Number:	
Confirmation Number:	4309
Title of Invention:	Method and apparatus for enabling individual or smaller investors or others to create and manage a portfolio of securities or other assets or liabilities on a cost effective basis
First Named Inventor/Applicant Name:	Steven M.H. Wallman
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Filer:	Brian S. Mudge
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Attorney Docket Number:	10392/460043
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Application Type:	Utility under 35 USC 111(a)

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Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)		
1		460043ResponsetoOAmailed11-12-09.pdf	74262 8b8553e12d36571c74e0c5dad4969f9030128b1a	yes	5		
	Multipart Description/PDF files in .zip description						
	Document Description		Start	End			
	Amendment/Req. Reconsideration-After Non-Final Reject		1	1			
	Claims		2	2			
	Applicant Arguments/Remarks Made in an Amendment		3	5			
Warnings:							
Information:							
Total Files Size (in bytes):			74262				
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>							